



Senior Agency Official for Records Management 2021 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the federal government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting:

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, and other aspects of agency records management programs.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmsselfassessment@nara.gov. Include the words "SAORM 2021 Annual Report - [Agency Name]" in the subject line of the email.

- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM: **James Wolff**
- Position title: **NNSA Chief Information Officer**
- Address: **1000 Independence Ave., SW Suite 1I-054, Washington DC 20585**

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

The National Nuclear Security Administration (NNSA), a semi-autonomous element under the Department of Energy (DOE).

2. Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?

- Yes
 No
 Do not know

Please explain your response (include details of specific challenges, if applicable):

COVID-19 significantly interrupted and impacted records management activities specifically those around hardcopy records. NNSA successfully transitioned to a maximum telework environment, which has increased visibility towards full lifecycle electronic records management. It has also hindered efforts to address records still in hardcopy format.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
 No
 Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

NNSA continues towards achieving this goal and is collaborating with DOE to address shared drive migration into SharePoint online and integrating the ability to manage records in that environment.

Challenges are focused around COVID restrictions impacting the ability to digitize records. Efforts continue towards identifying the remaining scope. The scope will be categorized into a plan to digitize applicable hardcopy records and identify those records where digitization will not be possible.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

Challenges are focused around COVID restrictions impacting the ability to digitize hardcopy records. Efforts continue towards identifying the remaining scope of hardcopy records. The scope will be categorized into a plan to digitize applicable hardcopy records and identify those records where digitization will not be possible.

NNSA is also coordinating with DOE to address shared drive migration into SharePoint online and integrating the ability to manage records within that environment.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

NNSA continues to make progress in meeting the goals of M-19-21. However, the impact of the COVID 19 pandemic is undeniable. Due to NNSA and NARA's operating status in FYs 2020 and 2021, many NNSA elements have fallen behind in the efforts to move paper records to either the FRC or to transfer permanent records maintained on site to NARA as a direct offer. NNSA will be included in the formal waiver request that DOE is submitting regarding the M-19-21 deadlines.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

NNSA is coordinating with DOE on the ERM strategy which includes the use of Office 365 tools and capabilities to manage records in electronic format, throughout the records lifecycle.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

NNSA currently uses a combination of NARA-approved commercially contracted records storage facilities, NNSA operated (NARA-certified) storage facilities, and the NARA Federal Records Centers. NNSA is coordinating with DOE to develop a plan to replace agency-operated records centers, but many challenges persist. NNSA will be included in the plan DOE is submitting by the end of FY22.

9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

- Yes
 No

Do not know

Please explain your response (include details of specific challenges, if applicable):

NNSA continues to migrate as many record-keeping practices from paper to electronic format as possible. However, there will always be some processes within nuclear weapons stockpile management, nuclear materials transportation and nuclear nonproliferation that may require hardcopy records creation. The intent is to apply digitization efforts to those areas to capture the records electronically as soon as possible.

NNSA is also focused on updating business processes to encompass full records lifecycle management in electronic format.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

Yes

No

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

Although NARA has acknowledged the challenges with COVID-19 and records management the deadline has remained unchanged. NARA should extend the deadlines established in OMB-M-19-21.